

02/01/02

02-05-02

A/RE

Please type a plus sign (+) inside this box → ☒

PTO/SB/50 (02-01)

Approved for use through 01/31/2004. OMB 0651-0033
U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

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REISSUE PATENT APPLICATION TRANSMITTAL

Address to:

Assistant Commissioner for Patents
Box Reissue
Washington, DC 20231

Attorney Docket No.	1103179-0009
First Named Inventor	Edward Colles Nevill
Original Patent Number	6,021,265
Original Patent Issue Date (Month/Day/Year)	February 1, 2000
Express Mail Label No.	EL286382313US

APPLICATION FOR REISSUE OF:
(Check applicable box)

Utility Patent



Design Patent



Plant Patent

APPLICATION ELEMENTS (37 CFR 1.173)

1. ☒ Fee Transmittal Form (PTO/SB/56) + PTO/SB/17
(Submit an original, and a duplicate for fee processing)
2. ☐ Applicant claims small entity status. See 37 CFR 1.27.
3. ☒ Specification and Claims in double column copy of patent
format (amended, if appropriate)
4. ☒ Drawing(s) (proposed amendments, if appropriate)
5. ☒ Reissue Oath/Declaration (original or copy)
(37 C.F.R. § 1.175) (PTO/SB/54 or 52)
6. ☒ Power of Attorney
7. Original U.S. Patent currently assigned? ☒ Yes ☐ No
(If Yes, check applicable box(es))
☒ Written Consent of all Assignees (PTO/SB/53)
☒ 37 C.F.R. § 3.73(b) Statement
(PTO/SB/96)
8. ☐ CD-ROM or CD-R in duplicate, Computer Program (Appendix)
or large table
9. Nucleotide and/or Amino Acid Sequence Submission
(if applicable, all of the following are necessary)
 - a. ☐ Computer Readable Form (CFR)
 - b. Specification Sequence Listing on:
 - i ☐ CD-ROM (2 copies) or CD-R (2 copies); or
 - ii ☐ paper
 - c. ☐ Statements verifying identity of above copies

ACCOMPANYING APPLICATION PARTS

10. ☒ Statement of status and support for all changes
to the claims. See 37 CFR 1.173 (c). See #15 below
11. ☐ Original U.S. Patent for surrender
☐ Ribbioned Original Patent Grant
☐ Statement of Loss (PTO/SB/55)
12. ☒ Foreign Priority Claim (35 U.S.C. 119)
(if applicable) see #15 below
13. ☐ Information Disclosure Statement (IDS)/PTO-1449 ☐ Copies of IDS
Citations
14. ☐ English Translation of Reissue Oath/Declaration
(if applicable)
15. ☒ Preliminary Amendment including
Nos. 10 & 12 above
16. ☒ Return Receipt Postcard (MPEP 503)
(Should be specifically itemized)
17. Other: copy of Terminal Disclaimer;
Offer to Surrender Patent - part of
Preliminary Amendment - #15 above;
Notice of Involvement in Litigation

18. CORRESPONDENCE ADDRESS



Customer Number or Bar Code Label

007470

or ☐ Correspondence address below

(Insert Customer No. or Attach bar code label here)

Name

Address

City

State

Zip Code

Fax

Country

Telephone

NAME (Print/Type)

Scott T. Weingaertner

Registration No. (Attorney/Agent)

37,756

Signature

[Signature]

Date

Feb. 1, 2002

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Box Reissue, Washington, DC 20231.

FEE TRANSMITTAL for FY 2002

Patent fees are subject to annual revision.

☐ Applicant claims small entity status. See 37 CFR 1.27

TOTAL AMOUNT OF PAYMENT (\$) **2204**

Complete if Known

Application Number	Pat. No. 6,021,265
Tag Date	Issue Date: Feb. 1, 2000
First Named Inventor	Edward Colles Nevill
Examiner Name	
Group Art Unit	
Attorney Docket No.	1103179-0009

METHOD OF PAYMENT (check all that apply)

☐ Check ☐ Credit card ☐ Money Order ☐ Other ☐ None

☒ Deposit Account:

Deposit Account Number: **23-1703**
Deposit Account Name: **White & Case**

The Commissioner is authorized to: (check all that apply)

☒ Charge fee(s) indicated below ☒ Credit any overpayments
☒ Charge any additional fee(s) during the pendency of this application
☐ Charge fee(s) indicated below, except for the filing fee to the above identified deposit account.

FEE CALCULATION

1. BASIC FILING FEE

Large Entity		Small Entity		Fee Description	Fee Paid
Fee Code	Fee (\$)	Fee Code	Fee (\$)		
101	740	201	370	Utility filing fee	
106	330	206	165	Design filing fee	
107	510	207	255	Plant filing fee	
108	740	208	370	Reissue filing fee	740
114	160	214	80	Provisional filing fee	

SUBTOTAL (1) (\$) **740**

2. EXTRA CLAIM FEES FOR UTILITY AND REISSUE

	Extra Claims	Fee from below	Fee Paid
Total Claims	-20** = 44	X 18 =	792
Independent Claims	-3** = 8	X 84 =	672
Multiple Dependent			

Large Entity		Small Entity		Fee Description
Fee Code	Fee (\$)	Fee Code	Fee (\$)	
103	18	203	9	Claims in excess of 20
102	84	202	42	Independent claims in excess of 3
104	280	204	140	Multiple dependent claim, if not paid
109	84	209	42	** Reissue independent claims over original patent
110	18	210	9	** Reissue claims in excess of 20 and over original patent

SUBTOTAL (2) (\$) **1464**

**or number previously paid, if greater; For Reissues, see above

FEE CALCULATION (continued)

3. ADDITIONAL FEES

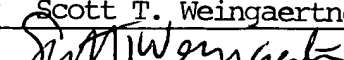
Large Entity		Small Entity		Fee Description	Fee Paid
Fee Code	Fee (\$)	Fee Code	Fee (\$)		
105	130	205	65	Surcharge - late filing fee or oath	
127	50	227	25	Surcharge - late provisional filing fee or cover sheet	
139	130	139	130	Non-English specification	
147	2,520	147	2,520	For filing a request for ex parte reexamination	
112	920*	112	920*	Requesting publication of SIR prior to Examiner action	
113	1,840*	113	1,840*	Requesting publication of SIR after Examiner action	
115	110	215	55	Extension for reply within first month	
116	400	216	200	Extension for reply within second month	
117	920	217	460	Extension for reply within third month	
118	1,440	218	720	Extension for reply within fourth month	
128	1,960	228	980	Extension for reply within fifth month	
119	320	219	160	Notice of Appeal	
120	320	220	160	Filing a brief in support of an appeal	
121	280	221	140	Request for oral hearing	
138	1,510	138	1,510	Petition to institute a public use proceeding	
140	110	240	55	Petition to revive - unavoidable	
141	1,280	241	640	Petition to revive - unintentional	
142	1,280	242	640	Utility issue fee (or reissue)	
143	460	243	230	Design issue fee	
144	620	244	310	Plant issue fee	
122	130	122	130	Petitions to the Commissioner	
123	50	123	50	Processing fee under 37 CFR 1.17(q)	
126	180	126	180	Submission of Information Disclosure Stmt	
581	40	581	40	Recording each patent assignment per property (times number of properties)	
146	740	246	370	Filing a submission after final rejection (37 CFR § 1.129(a))	
149	740	249	370	For each additional invention to be examined (37 CFR § 1.129(b))	
179	740	279	370	Request for Continued Examination (RCE)	
169	900	169	900	Request for expedited examination of a design application	

Other fee (specify) _____

*Reduced by Basic Filing Fee Paid

SUBTOTAL (3) (\$) _____

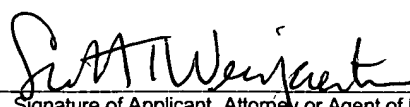
SUBMITTED BY

Name (Print/Type)	Scott T. Weingaertner	Registration No. (Attorney/Agent)	37,756	Complete (if applicable)
Signature		Telephone	212-819-8200	
		Date	Feb. 1, 2002	

WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.

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REISSUE APPLICATION FEE TRANSMITTAL FORM						Docket Number (Optional) 1103179-0009		
Claims as Filed - Part 1								
Claims in Patent		Number Filed in Reissue Application	(3) Number Extra	Small Entity		Other than a Small Entity		
				Rate	Fee	Rate	Fee	
(A) 14	Total Claims (37 CFR 1.16(j))	(B) 64	*** 44 =	x \$ _____ =	or	x \$ 18 =	792	
(C) 1	Independent claims (37 CFR 1.16(i))	(D) 9	* 8 =	x \$ _____ =		x \$ 84 =	672	
Basic Fee (37 CFR 1.16(h))						\$ 740		\$ 740
Total Filing Fee					\$	OR	\$ 2204	
Claims as Amended - Part 2								
	(1) Claims Remaining After Amendment		(2) Highest Number Previously Paid For	(3) Extra Claims Present	Small Entity		Other than a Small Entity	
					Rate	Fee	Rate	Fee
Total Claims (37 CFR 1.16(j))	***	MINUS	**	* =	x \$ _____ =		x \$ _____ =	
Independent Claims (37 CFR 1.16(i))	***	MINUS	*****	=	x \$ _____ =		x \$ _____ =	
Total Additional Fee					\$	OR	\$	
<p>* If the entry in (D) is less than the entry in (C), Write "0" in column 3.</p> <p>** If the "Highest Number of Total Claims Previously Paid For" is less than 20, Write "20" in this space.</p> <p>*** After any cancellation of claims.</p> <p>**** If "A" is greater than 20, use (B - A); if "A" is 20 or less, use (B - 20).</p> <p>***** "Highest Number of Independent Claims Previously Paid For" or Number of Independent Claims in Patent (C).</p> <p><input type="checkbox"/> Applicant claims small entity status. See 37 CFR 1.27.</p> <p><input checked="" type="checkbox"/> Please charge Deposit Account No. <u>23-1703</u> in the amount of <u>\$2204</u>. A duplicate copy of this sheet is enclosed.</p> <p><input checked="" type="checkbox"/> The Commissioner is hereby authorized to charge any additional fees under 37 CFR 1.16 or 1.17 which may be required, or credit any overpayment to Deposit Account No. <u>23-1703</u>. A duplicate copy of this sheet is enclosed.</p> <p><input type="checkbox"/> A check in the amount of \$ _____ to cover the filing / additional fee is enclosed.</p> <p><input type="checkbox"/> Payment by credit card. Form PTO-2038 is attached.</p> <p style="text-align: center;">WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.</p>								
February 1, 2002 Date				 Signature of Applicant, Attorney or Agent of Record Scott T. Weingaertner Typed or printed name Reg. No. 37,756				

"Express Mail" Label No. <u>EL286382313US</u>
Date of Deposit <u>FEBRUARY 1, 2002.</u>
I hereby certify that this paper is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 CFR 1.10 on the date indicated above and is addressed to the: Assistant Commissioner for Patents, BOX REISSUE, Washington, D.C. 20231.
<u>Michael Ramos</u> (Type or print name of person mailing paper or fee)
<u>Michael Ramos</u> (Signature of person mailing paper or fee)

RE: Application for Reissue;
U.S. Patent No. 6,021,265, original patent issue date February 1, 2000;
Inventor: Edward Colles Nevill;
Title: Interoperability with Multiple Instruction Sets;
Our Ref.: 1103179-0009

The following are enclosed:

- PTO/SB/50 - Reissue Patent Application Transmittal;
- PTO/SB/17 - Fee Transmittal and
- PTO/SB/56 - Reissue Application Fee Transmittal Form - both authorizing charges to Deposit Account 23-1703;
- Copy of Issued Patent 6,021,265, date of patent February 1, 2000 (including specification, claims, drawings, and abstract);
- Reissue Application Declaration by the Inventor;
- Power of Attorney;
- PTO/SBS/53 - Reissue Application: Consent of Assignee;
- PTO/SB/96 - Statement Under 37 CFR 3.73(b);
- Preliminary Amendment including: a Statement of status and support for all changes, a foreign priority claim, and an offer to surrender patent;
- Copy of a Terminal Disclaimer dated September 23, 1998;
- Notice of Involvement in Litigation; and
- Return postcard.

Respectfully submitted,

Scott T. Weingaertner

Scott T. Weingaertner, Reg. No. 37,756
Attorney's Direct Telephone: 212-819-8404
Customer No. 007470; Telephone: (212) 819-8200

Enclosures

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Inventor : Edward Colles Nevill
Applicant/Assignee : ARM Limited
U.S. Patent No. : 6,021,265
Issued : February 1, 2000
For : INTEROPERABILITY WITH MULTIPLE
INSTRUCTION SETS

Express Mail Label: EL 286382313 US
I hereby certify that this paper is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 C.F.R. § 1.10 in an envelope addressed to: Box Reissue, Assistant Commissioner for Patents, Washington, D.C. 20231, on February 1, 2002.
<u>Michael Ramos</u> Name of person mailing paper or fee
<u>Michael Ramos</u> Signature of person mailing paper or fee

Box Reissue
Assistant Commissioner for Patents
Washington, D.C. 20231

NOTICE OF INVOLVEMENT IN LITIGATION

Prior to the filing of this reissue application, the above-referenced patent was the subject of a litigation in the United States District Court for the Northern District of California (ARM Limited v. picoTurbo, Inc. C-00-00957CW). The litigation has since been terminated.

Dated: February 1, 2002

Respectfully submitted,

Scott T. Weingaertner
Scott T. Weingaertner
Reg. No. 37,756
Attorney for Applicant

Customer No. 007470
Direct Dial: (212) 819-8404

Reissue 10/066,475 (US Pat No. 6,021,265)

Note: *All claims are to be examined. There is no presumption of validity attached to the claims which were previously issued in the parent. Applicant has surrendered the claims in filing the Reissue application.*

Note: Reissue applications filed after 11/29/00 are subject to Restriction Practice

1. The Preliminary Amendment, at page 14, includes an offer to surrender the patent. The original patent must be received before this reissue application can be allowed. See 37 CFR 1.178 (Use form paragraph 14.05)
2. Make sure all art cited in parent is included on either an 892 or 1449 in this case.
3. Make sure all papers are entered (e.g. Preliminary Amendment).
4. **This is a broadening reissue.** Please check the record of the parent case to determine if there is improper recapture. Please indicate in the Search Notes that the parent was reviewed. If there is no issue of recapture at all, then no more need be done. If there is a question, but you determine (based on your knowledge of the case, art, expertise, etc.) that there is no improper recapture, either (a) address this in the Office Action if you feel it is warranted or (b) include a note for the reviewers so they can benefit from your insights.

Note that this is just to start you off. The comments are not comprehensive.

Please return this note and include the parent case (when submitting the action for review) to expedite the review process. Also included is a Reissue Application Checklist and Reissue Guide to be used throughout the Reissue process. If you have any questions call me. Thank You.

Please safeguard the
art. Office has already lost
it once.

Pharos.

Crescille dela Torre
Primary Examiner, AU 2174
PK2-4D40
305-9782
June 4, 2002

Or contact:
Pinchus Laufer
SPRE, TC2100
PK2 2D-16B
306-4160

Please remember to wand all cases (particularly the issued parent) so they can be located.